DOCUMENT RESUME

ED 169 999 JC 790 308

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TITLE Governance and Leadership in the 80's: Role of Planning, Management and Evaluation in Decision-Making.
PUB DATE 2 May 79
NOTE 34p.; Paper presented at the Annual Convention of the American Association of Community and Junior Colleges (59th, Chicago, Illinois, April 29-May 2, 1979)

EDRS PRICE MF01/PC02 Plus Postage.
DESCRIPTORS Administrator Role; *College Administration; Community Colleges; Curriculum Planning; Decision Making; *Governance; *Junior Colleges; Management by Objectives; Management Information Systems; *Management Systems; *Teacher Participation

ABSTRACT

The 1960's and 1970's saw the development and expansion of a new type of educational administration/management that was heavily weighted toward a quantitative approach. Some feel that the advent of modern management techniques (Planning, Management, and Evaluation--PME, Management By Objectives--MBO, Management Information Systems--MIS) as applied to education has increased the polarity between administrators and faculty. However, PME-type systems have significance and merit in the mode of renewal for administration and instruction. The higher education management derives its unique and challenging nature from a variety of factors: characteristics of the educational process and the subordinate role of management, the complexity of individual colleges, decentralization, emphasis on primary programs, lack of efficiency incentives, and mistrust of quantitative approaches to management. Although these quantitative approaches can help to identify and illuminate the alternatives available to the decision-maker, they may result in a significant shift of the locus of internal, and in state systems external, curriculum decision-making or control away from the faculty. Several indications exist that the faculty is losing its voice in academic governance and decision-making despite the importance of faculty involvement in institutional management. The need for an open MIS and a shared governance model is evident. (AYC)

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GOVERNANCE AND LEADERSHIP IN THE 80'S

ROLE OF PLANNING, MANAGEMENT AND EVALUATION IN DECISION-MAKING

AACJC

ANNUAL CONVENTION

CHICAGO, ILLINOIS

MAY 2, 1979

S. JAMES MANILLA

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ROLE OF PLANNING, MANAGEMENT AND EVALUATION IN DECISION-MAKING

Now that Bob and Dick have given us a capsule look at governance in our colleges, perhaps our attention should begin to focus on another phenomenon occurring in our institutions - and that is a new style of management which is heavily weighted toward a quantitative approach and its impact on governance. Therefore, I will concentrate my remarks on the topic, "The Role of Planning, Management and Evaluation in Decision-Making."

Figure #1

"Beleagured by the uncertainties of economic retrenchment and falling enrollments, harried by a proliferation of legal and legislative strictures, daunted by a growing loss of public esteem, workers in higher education may well be forgiven for qualms of pessimism as they face the challenges of the 1970's. This summary of the Fifth Annual Meeting of the American Association of University Professors (1976) seems to characterize the prevailing attitude of most college and university administrators as they look forward to the uncertain 80's.

If that quote on the screen has any merit, then one may quickly conclude that higher education may very well be facing its most crucial test in its long and glorious history. It may well be that higher education's finest hour has passed. Demographics and fiscal austerity, heard everywhere, have intimidated the academic imagination; the steady-state economy has whittled away the promise of upward mobility for aspiring young people; and the future is less than optimistic.

In that spirit it is my purpose today to share with you another aspect of management which is having profound impact on how our colleges are being governed today. It is my belief that the challenge presented by the prospect of consolidation and even greater contraction of the higher

GOVERNANCE AND LEADERSHIP IN THE 80'S

"BELEAGURED BY THE UNCERTAINTIES OF ECONOMIC RETRENCHMENT AND FALLING ENROLLMENTS, HARRIED BY A PROLIFERATION OF LEGAL AND LEGISLATIVE STRICTURES, DAUNTED BY A GROWING LOSS OF PUBLIC ESTEEM, WORKERS IN HIGHER EDUCATION MAY WELL BE FORGIVEN FOR QUALMS OF PESSIMISM AS THEY FACE THE CHALLENGES OF THE 1980's." [1]

[1] SUMMARY OF THE FIFTH ANNUAL MEETING OF THE AMERICAN ASSOCIATION OF UNIVERSITY PROFESSORS ('76)

Figure # 1

education enterprise will make a greater demand on our management talents than did the tests of coping with the burgeoning student enrollment.

(Entering new ballgame - new rules and even the shape of the ball may change.)

(We oldsters have become very proficient in the management of expansion - now "no growth" - solving problems on basis of "solution by addition.")

I can recall when college presidents and administrative officers were perceived to hold privileged positions - were the darlings of the nation! Now, we look for companionship and someone whom we can call a friend!

A colleague of mine who had been in this business for almost three decades expressed this opinion to me not too long ago:

> "I've seen college administration change in the last 20 years from a pattern in which the Board set policy, the President was the educational leader, the Faculty taught and the students studied--to a pattern in which the statehouse and feds make policy, the Board and Faculty draw up legal contracts for operation, students 'generate credit hours' (basis for state reimbursement), and the President does nothing more than try to keep the buildings warm and clean and get the payroll out on time."

Some have gone so far to state that the increased polarity between administrators and faculty has resulted primarily from both the advent of modern management techniques (PME, MBO, PPBS, etc.) as applied to education,

and in the movement of control regarding the curriculum. Many contend that the phenomenon is a cause and effect relationship. That is, the faculty tend to assert that the employment of quantitative approaches by administration has already or is continuing to emasculate the faculty's traditional role in many institutional management functions -- especially in designing, maintaining, revising and evaluating the curriculum.

Figure #2

The purpose of this aspect of my presentation is to point out the significance and merit of PME type systems in the mode of renewal for administration and instruction.

Again, time limits the scope of this coverage. However, I want to talk briefly on the historical development of educational management systems in higher education and show you a model which I have employed, with some degree of success, for the past four years. In the second part, a severe, yet substantiated, indictment of faculty regarding the loss of control of the institution's curriculum, and lastly, some conclusions as to why administrative and faculty awareness of modern management techniques may be beneficial.

(Applicable to routine -- payroll, student data, inventories, budget, scheduling leaves time for crucial decisions! -- unfortunately many administrators like to spend time with routine affairs.)

Figure #3

The decade of the 60's brought many developments into post-secondary education, not the least of which was a new breed of educational administrators fostering new forms of institutional administration and management. During the 70's these activities have greatly expanded and intensified. Rourke and Brooks ('66) hypothesized that the new techniques of management

ROLE OF PLANNING, MANAGEMENT AND EVALUATION IN DECISION-MAKING

(QUANTITATIVE APPROACH TO MANAGEMENT)

- HISTORICAL DEVELOPMENT OF MANAGEMENT SYSTEMS
- ONE MIS MODEL
- INDICTMENT OF FACULTY REGARDING LOSS OF CURRICULUM CONTROL

Figure #2

MANAGEMENT TECHNIQUES

MBO

PPBS

PMS

MIS

NCHEMS

Etc.

HYPOTHESIS -- THAT THE NEW TECHNIQUES WOULD BRING A NEW TYPE OF MACHINE-TOOLED DECISION-MAKER INTO POSITIONS OF EDUCATIONAL LEADERSHIP. [6]

Figure #3

[6] ROURKE AND BROOKS ('66)

would bring a new type of machine-tooled decision-maker into positions of leadership in educational administration. Further, they felt that these new administrators would be skilled in computer technology, quantitative research or some other facet of skills required by this new science of management. Based on their research findings, Rourke and Brooks were unable to support the hypothesis that quantitative administrators were entering post-secondary education administration at any perceptible rate. What they did find, however, was that top-level administrators were themselves becoming more quantitatively oriented, more open to new management techniques, and more interested in creating and drawing on technical services of the staff. Also, the top-level administrators now have little reluctance to draw upon the services of management consulting firms for advice on administrative problems on campus.

I would hypothesize that a similar study to that of Rourke and Brooks done today would actually support their original hypothesis. Their work, The Managerial Revolution in Higher Education, has been grasped by the proponents of the management movement.

The breadth of this new institutional management movement is evidenced by the federally funded National Center for Higher Education Management Systems at the Western Interstate Commission on Higher Education in Boulder, Colorado. The extent of participation of individuals, institutions, systems of education, and state and federal officials in NCHEMS attests to the commitment of the post-secondary education community to the new management techniques as applied to education.

Major happenings which have created the atmosphere for educational management systems development are many and have received considerable

attention over the past several years. However, the primary reason, as cited by Farmer ('71), other than rapid growth and associated problems, is "that given the spiraling cost of higher education, public officials would like some assurance that the colleges and universities are being well managed." Farmer feels that the attitude has been or is predicated on the shortage of funds needed for social programs and public services, and a wide-spread questioning of the role and the purpose of post-secondary education.

(Secretary Richardson in 1972 -- Congressional Testimony stated: "We are convinced that mong the most inefficiently administered institutions in the U.S., by and large, are our institutions of higher education.")

Figure #4

At this juncture I would like to share with you a management model that I have used for the past several years in three separate institutions. Although I have had varying degrees of success with its implementation, I must confess in each succeeding institution the imperfections were eliminated, modifications were made and results improved. The total management information system I am about to describe to you is only one prototype. There are many variations of the same model.

(DESCRIBE MIS)

(Accountable - Liability for "something of value"
-- Means answerable or capable of being explained -

To Whom -- For What

Input (Student Comp.) → Process (Instruction) → Output (Grades)

Some believe oriented to "things" -- not "people.")

ACCOUNTABILITY IN HIGHER EDUCATION UTILIZING A MANAGEMENT INFORMATION SYSTEM

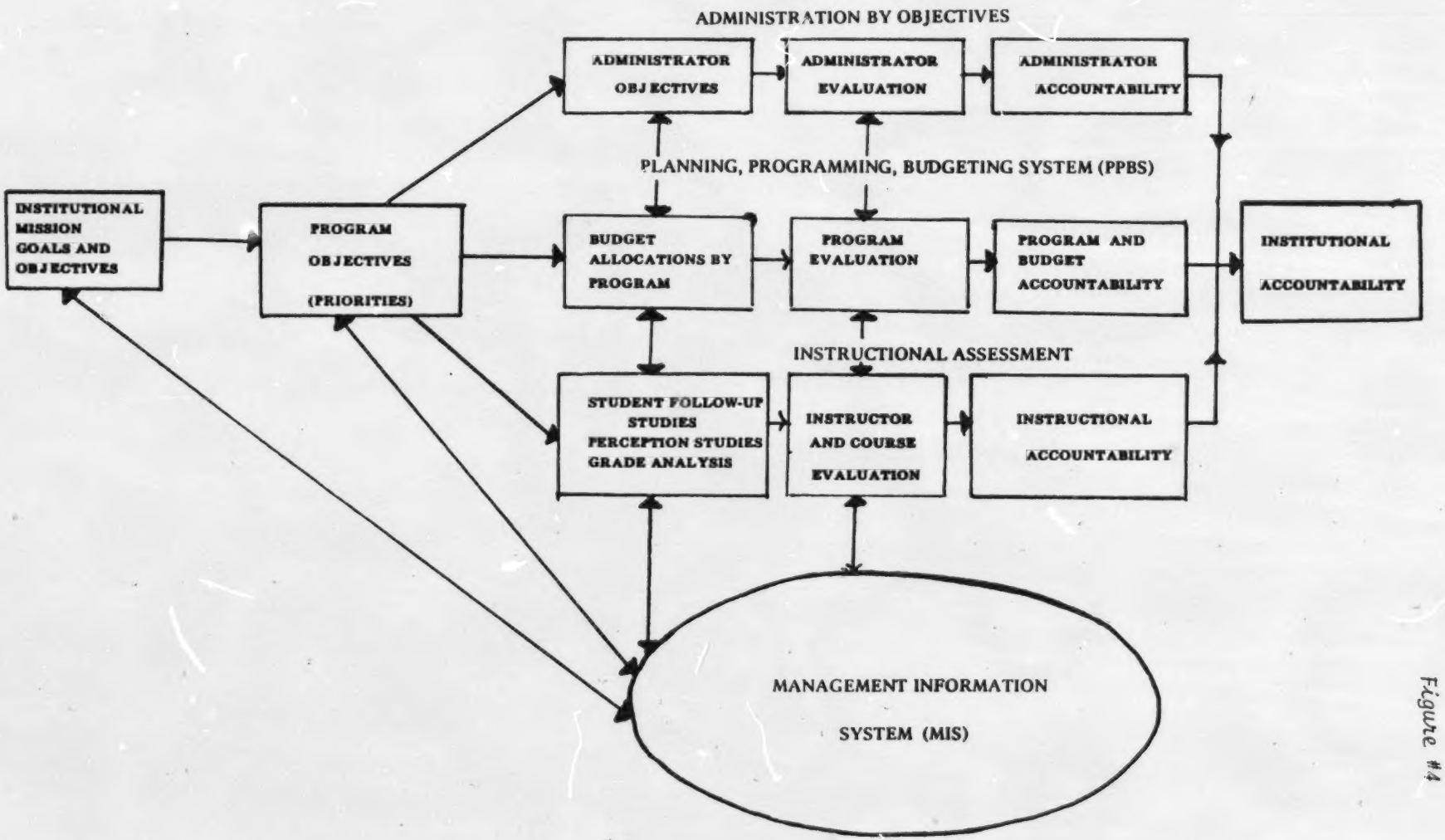


Figure #4

One of the most fundamental misconceptions about the quantitative and systematic approaches to higher education management is the persistent impression that the purpose of these approaches is to solve problems for management or to make decisions outright. This is not the case! One must never lose sight of the fact that management is only a means to an end -- an important means to be sure, but still only a means. Learning is the goal.

Figure #5

Management and management techniques that directly or indirectly permit more effective learning or broadened opportunity for learning can be viewed positively. In a very real sense, the manager in an institution of higher learning must continually synthesize a plan of action which brings into play a world of people (human values, preferences, aspirations, and interpersonal dynamics) and a world of things (facts, dollars, resources and constraints). The creativity of this synthesis is the fundamental measure of a higher education manager's effectiveness.

Managing in the midst of this complexity is truly a challenging task. Quantitative approaches are only one of many supports needed by the higher education manager! Other characteristics of the higher education management environment arise from the ways in which our colleges are organized and operated (governed). We are sometimes our worst enemies!

(In the 60's and 70's - we justified to statehouses the need for increasing funding by 14 percent increase HC and 18 percent SCH's.

Central objective was short term!

Must now design ways of providing long range factors of accountability. (Success stories, impact studies, economy, societal problems.)

MANAGER IN INSTITUTION OF HIGHER EDUCATION MUST CONTINUALLY SYNTHESIZE A PLAN OF ACTION WHICH BRINGS INTO PLAY:

- WORLD OF PEOPLE
  (HUMAN VALUES, PREFERENCES, ASPIRATIONS AND INTERPERSONAL DYNAMICS)

- WORLD OF THINGS
  (FACTS, DOLLARS, RESOURCES AND CONSTRAINTS)

Figure #5

Figure #6

In summary, the higher education management derives its unique and challenging nature from a wide variety of factors: the nature of the educational process and the necessarily subordinate role of management, the complexity of individual colleges and universities, decentralization, emphasis on primary programs, lack of efficiency incentives, and a degree of mistrust or suspicion of quantitative approaches to management.

(Accountability Mechanisms have enormous potential for unintended modification of institutional character and governance.)

Figure #7

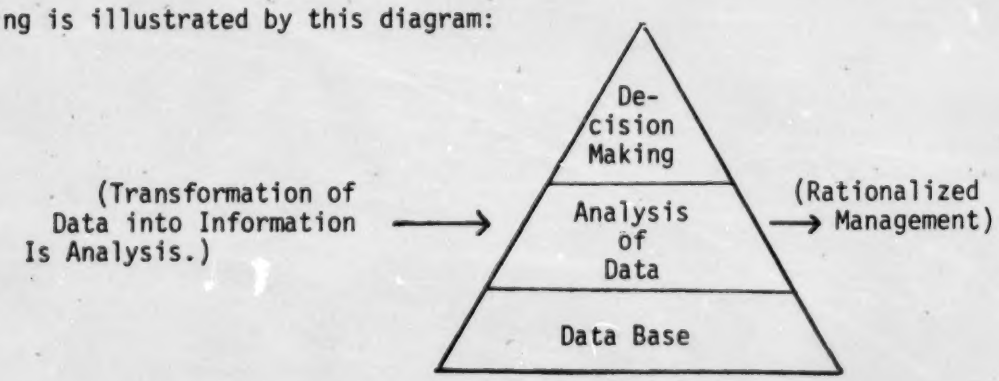
Given the nature of the environment and the nature of the management function, it becomes necessary then to ask where and when, and how do quantitative approaches fit in? What management tools, skills, techniques is higher education going to need? The linkage is to be found in the "decisions" that all higher education managers face.

(Time of stress -- pull back -- regroup -- centralize more -- hierarchial, vertical structure.)

Figure #8

Let me share with you a schematic I use for decision-making:

A decision means making a choice among a set of competing alternatives on the basis of some criterion or assessment mechanism. A philosophical approach that I use and one that serves as a basis for much of my decision-making is illustrated by this diagram:



WHERE DOES HIGHER EDUCATION MANAGEMENT THEN DERIVE ITS UNIQUE AND CHALLENGING NATURE?

- NATURE OF THE EDUCATIONAL PROCESS AND THE NECESSARILY SUBORDINATE ROLE OF MANAGEMENT
- COMPLEXITY OF INDIVIDUAL COLLEGES AND UNIVERSITIES
- LACK OF EFFICIENCY INCENTIVES
- A DEGREE OF MISTRUST OR SUSPICION OF QUANTITATIVE APPROACHES TO MANAGEMENT

Figure #6

WHAT MANAGEMENT TOOLS, SKILLS, TECHNIQUES IS HIGHER EDUCATION GOING TO NEED?

PLANNING?

GOAL SETTING?

PROGRAM EVALUATION?

CREATIVE PROBLEM-SOLVING?

ORGANIZATION DEVELOPMENT?

INSTITUTIONAL RESEARCH?

MARKET METHODS?

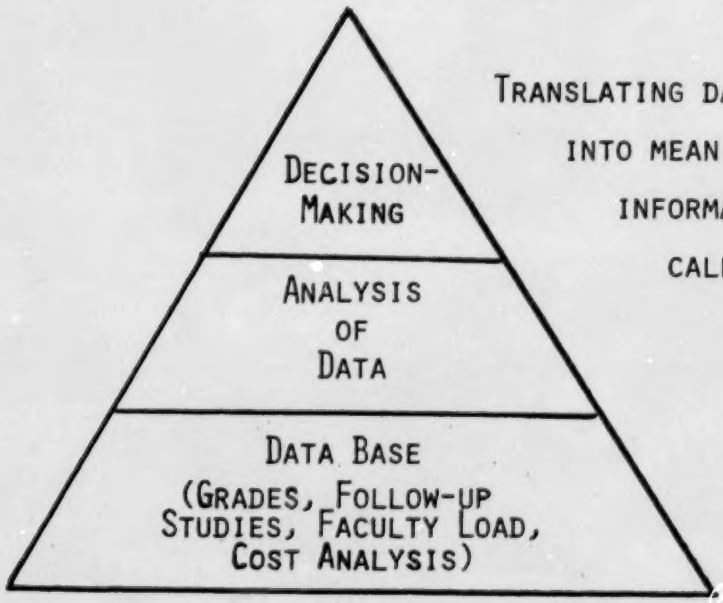
MANAGEMENT STYLES?

ETC.

Figure #7

Figure #8

DECISION--MAKING



TRANSLATING DATA INTO MEANINGFUL INFORMATION IS CALLED ANALYSIS.

AS QUADE ('75) PUTS IT:

"IF THE ALTERNATIVES ARE ALL GOOD, THE DECISION WILL BE A GOOD ONE - - PERHAPS NOT THE BEST, BUT STILL GOOD. IF SOME ALTERNATIVES ARE POOR, THEN THE THE ISSUE MAY STILL BE IN DOUBT.

The alternatives in question may be different programs, various budget configurations, or other possibilities for resource allocations. The decision to accept one alternative implies a parallel choice to reject one or more other alternatives.

Once the focus on decision-making within management emerges, the major role of quantitative information and techniques becomes more clear. Quantitative approaches can help to identify and illuminate the alternatives available to the decision-maker.

(Metropolitan Life President wants support data for accepting and rationale for rejecting each alternative.)

Enriching the alternatives considered enhances the likelihood of a "good decision," i.e., one that yields the desired consequences. As Quade ('75) puts it:

> "If the alternatives are all good, the decision will be a good one - perhaps not the best, but still good. If some alternatives are poor, the issue may still be in doubt."

Figure #9

Given the developments described by Rourke and Brooks and by Farmer, what then are the real consequences for faculty and the control of curriculum?

It becomes apparent that the introduction and adoption of these new management techniques, now and more so in the future, may very well result in a significant shift of the locus of internal and in state systems, external curriculum decision-making or control.

There is little doubt that one of the areas of the institution with which control and decision-making has rested with the faculty is curriculum.

FACULTY AND MANAGEMENT

WHERE DOES FACULTY FIT IN?

FACULTY LOSING ITS ROLE IN ACADEMIC GOVERNANCE?
WHY?

ELECTRONIC REVOLUTION - FACT OR FICTION?

ARE FACULTY PART OF MANAGEMENT?
YES OR NO?

Although we have seen a management technique in the past that assigns faculty authority for curriculum, the evidence seems to indicate that basically administration is still responsible. What we are seeing now, and will probably continue to see in the future, is the employment of new management techniques by the administration which can and will continue to remove the responsibility for curriculum control from the faculty.

Currently, the management and administrative techniques are represented in such terms and phrases as planning, programming, budgeting systems, management by objectives, matrix management, cost effectiveness, etc. Each carries the connotation of being heavily dependent on quantitative procedures. These techniques as utilized by educators have become known collectively as "educational planning, management and evaluation systems," (PME).

Undoubtedly, the knowledge explosion and the advanced computer technology have rendered faculty techniques irresponsive when called upon to furnish data on which to make curricular and other decisions. Therefore, the administration has set out to establish what is commonly referred to as "management information systems" which I described to you earlier.

One might conclude from my remarks that the faculty is losing its role in academic governance, its voice in institutional decision-making, and its assigned responsibility of review and control of the curriculum. Whatever the faculty motivation is for allowing such a dismal future to be forecast, remains an enigma.

The Electric Revolution" is a reality and has provided the technological basis for both the development of educational management systems and the

expansion of instructional technology. For various reasons, the faculty appears to be alienated by these management and instructional developments. Again, the why of the faculty response of rejection of these developments is not really understood.

Figure #10

One thing appears certain, however: there will be some incorporation of quantitative approaches into whatever governance structure emerges. No doubt there are still many skeptics of quantitative approaches. Nonetheless, there is a growing recognition that quantitative approaches are becoming relatively widespread and diverse and that they are here to stay. For example, a survey of college and university administrators conducted as part of NCHEMS and its products provides evidence that approximately 50 percent of the institutions of higher education in the United States had used at least one.

Apparent levels of current use appear to justify an assertion that almost all will be using some kind of tool or technique in the relatively near future.

Figure #11

In a recent U. S. Court of Appeals case, faculty were ruled to be considered part of management (U. S. Court of Appeals, Second Circuit, NLRB vs. Yeshiva University, August 31, 1978). Some excerpts from Judge Mulligan's opinion demonstrate the basis on which he ruled faculty as management:

> ". . .The faculty was so involved with the personnel and policy decisions that they are, in effect, substantially and pervasively operating the enterprise.
>
> ". . .The faculty, acting at times through committees or department chairmen (chairpersons) and other times as a body, exercises supervisory and managerial functions.

CHANGE IN USE OF VARIOUS PLANNING OR MANAGEMENT TECHNIQUES,
ACTUAL 1968-1974 AND ANTICIPATED 1974-1980
(IN PERCENTAGES OF RESPONDING INSTITUTIONS)

PLANNING/MANAGEMENT TECHNIQUES	1968-1974			1974-1980		
	EXTENSIVE	SOME	VERY LITTLE	EXTENSIVE	SOME	VERY LITTLE
MANAGEMENT INFORMATION SYSTEM (MIS)	26	47	27	55	38	7
UNIT-COST STUDIES	22	52	26	55	39	6
WICHE-NCHEMS PRODUCTS	13	36	51	32	46	22
PROGRAM-PERFORMANCE AUDITS	11	41	48	21	54	25
ELECTRONIC DATA PROCESSING	47	39	14	58	37	5
FACULTY WORKLOAD STUDIES	24	58	18	49	47	4
PROGRAM BUDGETING/MANAGEMENT BY OBJECTIVES (MBO)	17	46	37	47	43	10
SIMULATION TECHNIQUES	5	26	69	18	48	34
ANALYSIS OF INSTITUTIONAL GOALS	36	51	13	63	34	3
PROGRAM EVALUATION	27	57	16	68	30	2
MARKET SURVEY, NEEDS ANALYSIS	13	49	38	48	43	9

NOTE: NUMBERS ON WHICH PERCENTAGES ARE BASED RANGE FROM 947 TO 1,166.

GLENNY ('76)

Figure #10

U. S. COURT OF APPEALS, SECOND CIRCUIT,
N. L. R. B. VS. YESHIVA UNIVERSITY
AUGUST 31, 1978

JUDGE MULLIGAN'S OPINION RULED FACULTY PART OF MANAGEMENT:

". . .THE FACULTY WAS SO INVOLVED WITH THE PERSONNEL AND POLICY DECISIONS THAT THEY ARE, IN EFFECT, SUBSTANTIALLY AND PERVASIVELY OPERATING THE ENTERPRISE.

". . .THE FACULTY, ACTING AT TIMES THROUGH COMMITTEES OR DEPARTMENT CHAIRMEN (CHAIR-PERSONS) AND OTHER TIMES AS A BODY, EXERCISES SUPERVISORY AND MANAGERIAL FUNCTIONS.

". . .ADOPTING STANDARDS OF ADMISSION, THE CURRICULUM, GRADING SYSTEM AND GRADUATION REQUIREMENTS."

". . .Adopting standards of admission, the curriculum, grading system and graduation requirements."

So what does it all mean, what is the bottom line? Given the traditional and current organizational structures prevalent in post-secondary education, it is imperative that faculty be involved in the management of the institution. PME type systems provide the opportunity for improvements in both institutional management and instructional improvement. Faculty and administrators must grasp and harness these "new" tools for uses beneficial to the student and society, not to hurl them as spears of encroachment and domination.

(Challenge also of quantitative approach - how to advance art of quantification while maintaining centrality of human values in education.)

PME must not, however, become that which is developed by administrators and implemented by faculty, for as the old Indian proverb states, "When two elephants fight, it is the grass which gets hurt," and students are not the grass upon which administrators and educators have the right to tread.

Figure #12

Stepping back now and taking a total look at PME, what will be some of the leadership skills required to make this all work? I will take a quick moment to share with you what I feel are some characteristics that will be needed by successful leaders in higher education for the future. I don't profess that one cannot be successful without any of these characteristics, but rather one's chances of survival may be somewhat enhanced by having at least some resemblance to the following:

(List from transparancy)

CHARACTERISTICS OF A SUCCESSFUL LEADER FOR THE 80'S [7]

- TOP ADMINISTRATION IS A MANAGEMENT JOB
- BEING "COMPUTER LITERATE"
- TREATING DATA AS A MEANS
- UNDERSTANDS CURRICULAR DESIGN AND OPERATION
- ABILITY TO CREATE A TEAM OF STEADY-STATE MANAGERS
- TEAM APPROACH TO MANAGEMENT
- CANDOR AND COMMUNICATIONS
- CLEAR-CUT JOB DELINEATIONS
- HIGH DEGREE OF COMMITMENT
- DECISION-MAKING INVOLVES RISK TAKING (ACTION-ORIENTED OCCUPATION)
- CONTINUOUS EVALUATION OF PRIORITIES

[7] JAKOW ('76)

Figure #13

Some have concluded that there will be a new management style required. Although on the surface it may appear that we are moving from a collegial governance style and an orientation to management information systems which tend to make management more hierarchial and centralized, when in reality the challenging days ahead will call for a leadership style which must accelerate the corporate tempo of decision-making and perfect our ability to be flexible enough to change the course and emphasis of our programs as changing conditions demand.[1]

Figure #14

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[1]Jakow, "What is Required of Today's Administrator in Higher Education." Annual Meeting of Eastern Association of Colleges and Universities Business Officers, Nov. 1976.

TYPES OF ADMINISTRATIVE LEADERSHIP

Late 1950's	- Mid 1960's	Innovator
Late 1960's	- Early 1970's	Conciliator
Late 1970's	- ?	Manager

Basic Skills

Conceptual

Human Relations

Technical

Figure #13

WHAT IS!

- Is this person an authority in a field of scholarship, preferably an esoteric field?
- Has he written a book?
- Has he been on many convention programs and articulated his views in articles and speeches?
- Has he had experience as faculty member or as a Dean?
- Is he a foundation executive? Or, does he know anyone at the Ford Foundation?

WHAT WILL BE?

- Is he a manager?
- Has he had any experience in administration?
- Does he heave a track record in collective bargaining?
- Is our candidate a lawyer, or does he possess an M.B.A. or management degree?
- Has he been a business executive or a fund raiser?
- What about his budgeting ability; is he sharp with figures?
- How can this person get along with people when the going gets rough?
- Has he ever met a payroll?

Figure #14

CONCLUSION:

The key to who will lead and who will control our institutions in in the future may very well rest with those who are the most knowledgeable and aware of information affecting the operation of our colleges. This statement does not preclude external control of our institutions by those who will demand more accountability.

I believe we have the wisdom, the tools, the computer know-how, and the concepts to be able to manage the progress and process of our past decisions and to provide ourselves with decision-making data for the future. However, I question whether we are organized institutionally or making adequate use of these tools in today's problem-solving and governance of our institutions. Therefore, one of the most important things we must have in the 1980's is a full complement and understanding by all of management tools to supplement the decision-making process and the commitment to use them. One thing we can be sure of: that is the certainty that we will have numerous opportunities in the future to grapple with more problems and challenges as community college administrators.

We often promote the concept of management information and planning for decision-making. Yet we end up making those decisions based on "our years of experience" -- or by intuition. If we are to organize for the 1970's toward decision-making based on what Simon has called "little more than ambiguous and mutually contradictory proverbs," the need for an open management information system and a shared governance model is evident. Higher education is a complex and dynamic social institution. More growth and change undoubtedly lie ahead. The challenge for quantitative approaches to management and governance models is how to support and enhance rather

than inhibit growth, diversity and change. Much remains to be done in perfecting the management and governance of our institutuions of higher education. My hope is that those attempting to make progress in this vital area continue to share the successes and failures widely and openly so that a more "scientific approach" to governance may result.

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LOS ANGELES
JUN 15 1979
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JUNIOR COLLEGES